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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

500.43534X00

First Inventor

KAWASAKI, MASAHIRO

Title

SEMICONDUCTOR DEVICE AND  
MANUFACTURING METHOD THEREOF

Express Mail Label No.

## APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages: **29**]  
(preferred arrangement set forth below)

-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R & D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets: **6**]

5. Oath or Declaration [Total Sheets: \_\_\_\_\_]

- a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)

- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)  
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents(s))  
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
11. ☐ English Translation Document (if applicable)  
12. ☒ Information Disclosure ☒ Copies of IDS Citations  
Statement (IDS)/PTO-1449  
13. ☐ Preliminary Amendment  
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)  
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.  
17. ☒ Other: **Figs. 1-10; Credit Card Payment Form**  
**CLAIM FOR PRIORITY**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: \_\_\_\_\_ Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number

020457

OR ☐ Correspondence address below

Name

ANTONELLI, TERRY, STOUT &amp; KRAUS, LLP

Address

City

State

Zip Code

Country

Telephone

(703) 312-6600

Fax

(703) 312-6666

Name (Print/Type)

Gregory E. Mentone

Registration No. (Attorney/Agent)

28,141

Signature

Date

February 26, 2004

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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022604

13281 U.S. PTO

16834 U.S. PTO  
10/786097

022604

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**FEE TRANSMITTAL  
for FY 2004**

Effective 10/01/2003. Patent fees are subject to annual revision.

**Complete if Known**

Application Number \_\_\_\_\_  
 Filing Date **February 26, 2004**  
 First Named Inventor **KAWASAKI, MASAHIRO**  
 Examiner Name \_\_\_\_\_

Art Unit \_\_\_\_\_

Attorney Docket No. **500.43534X00**☐ Applicant claims small entity status. See 37 CFR 1.27TOTAL AMOUNT OF PAYMENT **(\$)** **1136.00****METHOD OF PAYMENT (check all that apply)**

☐ Check ☒ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

**01-2135****Antonelli, Terry, Stout & Kraus, LLP**

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☒ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application.☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1001 770	2001 385	Utility filing fee
1002 340	2002 170	Design filing fee
1003 530	2003 265	Plant filing fee
1004 770	2004 385	Reissue filing fee
1005 160	2005 80	Provisional filing fee

**SUBTOTAL (1)****770****770****2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

	Extra Claims	Fee from below	Fee Paid
Total Claims 26	-20** = 6	x 18.00	= 108.00
Indep. Claims 6	-3** = 86.00	x 86.00	= 258.00
Multiple Dependent		290.00	= 0.00

Large Entity Fee Code (\$)

Small Entity Fee Code (\$)

1202 18

1201 86

1203 290

1204 86

1205 18

2202 9

2201 43

2203 145

2204 43

2205 9

**Fee Description**

Claims in excess of 20

Independent claims in excess of 3

Multiple dependent claim, if not paid

\*\* Reissue independent claims

over original patent

\*\* Reissue claims in excess of 20

and over original patent

**SUBTOTAL (2) \$ 366.00**

\*\*or number previously paid, if greater; For Reissues, see above.

**3. ADDITIONAL FEES**

Large Entity Fee Code (\$)

Small Entity Fee Code (\$)

1051 130

1052 50

1053 130

1812 2,520

1804 920\*

1805 1,840\*

1251 110

1252 420

1253 950

1254 1,480

1255 2,010

1401 330

1402 330

1403 290

1451 1,510

1452 110

1453 1,330

1501 1,330

1502 480

1503 640

1406 130

1807 50

1806 180

8021 40

1809 770

1810 770

1801 770

1802 900

2051 65

2052 25

1053 130

1812 2,520

1804 920\*

1805 1,840\*

2251 55

2252 210

2253 475

2254 740

2255 1,005

2401 165

2402 165

2403 145

1451 1,510

2452 55

2453 665

2501 665

2502 240

2503 320

1460 130

1807 50

1806 180

8021 40

2809 385

2810 385

2801 385

2802 900

**Fee Description**

Surcharge - late filing fee or oath

Surcharge - late provisional filing fee or cover sheet

Non-English specification

For filing a request for *ex parte* reexamination

Requesting publication of SIR prior to Examination action

Requesting publication of SIR after Examiner action

Extension for reply within first month

Extension for reply within second month

Extension for reply within third month

Extension for reply within fourth month

Extension for reply within fifth month

Notice of Appeal

Filing a brief in support of an appeal

Request for oral hearing

Petition to institute a public use proceeding

Petition to revive - unavoidable

Petition to revive - unintentional

Utility issue fee (or reissue)

Design issue fee

Plant issue fee

Petitions to the Commissioner

Processing fee under 37 CFR 1.17(q)

Submission of Information Disclosure Stmt

Recording each patent assignment per property (times number of properties)

Filing a submission after final rejection (37 CFR § 1.129(a))

For each additional invention to be examined (37 CFR § 1.129(b))

Request for Continued Examination (RCE)

Request for expedited examination of a design application

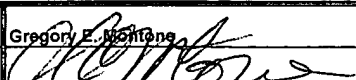
Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)**

Fee Paid

**0.00****0.00****SUBMITTED BY****Complete (if applicable)**

Name (Print/Type)	<b>Gregory E. Montone</b>	Registration No. (Attorney/Agent)	<b>28,141</b>	Telephone	<b>703-312-6600</b>
Signature		Date	<b>02/26/04</b>		

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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